



#2  
BT  
21526-24-01

RECEIVED  
SEP 2 6 2001  
Technology Center 2100

THE UNITED STATES PATENT AND TRADEMARK OFFICE  
Applicants: Travis J. Muhlestein et al. Attorney Docket No: MSFT116344

Application No: 09/899,959 Group Art Unit: 2152

Filed: July 6, 2001

Title: METHOD AND APPARATUS FOR PROVIDING INSTRUMENTATION  
DATA TO AN INSTRUMENTATION DATA SOURCE FROM WITHIN A  
MANAGED CODE ENVIRONMENT

### INFORMATION DISCLOSURE STATEMENT

Seattle, Washington 98101

September 20, 2001

TO THE COMMISSIONER FOR PATENTS:

Applicants are aware of the information listed in the attached form that may be material to the prosecution of the above-identified patent application.

1.   X   Copies of the listed patents, publications, and other information are enclosed for the Examiner's use.
2.        This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior Application No.                     , filed                     . The references listed on the attached form were submitted to and/or cited by the Patent and Trademark Office in this prior application and, therefore, are not required to be provided in this application.
3.   x   A concise explanation of the relevance of document I.D. No. O9 (which is not in the English language), as presently understood by the individual designated under 37 C.F.R. § 1.56(c) most knowledgeable about its content, is provided in an English abstract appended to said document.
4.   X   Pursuant to 37 C.F.R. § 1.97(b), this Information Disclosure Statement is being filed within three months of the filing date of the national application (other than a CPA), within three months of the date of entry of the national stage as set forth in 37 C.F.R. § 1.491 in an international application, before the mailing date of a first Office Action on the merits, or before the mailing date of a first Office Action after the filing of an RCE.

LAW OFFICES OF  
CHRISTENSEN O'CONNOR JOHNSON KINDNESS<sup>PLLC</sup>  
1420 Fifth Avenue  
Suite 2800  
Seattle, Washington 98101  
206.682.8100

5. \_\_\_\_\_ Pursuant to 37 C.F.R. § 1.97(c), this Information Disclosure Statement is being filed after the period set forth in 37 C.F.R. § 1.97(b) but before the mailing date of a final action under 37 C.F.R. § 1.113, a Notice of Allowance under 37 C.F.R. § 1.311, or an action that otherwise closes prosecution, and is accompanied by:
- a. \_\_\_\_\_ a certification statement as specified in 37 C.F.R. § 1.97(e); or
- b. \_\_\_\_\_ the submission fee set forth in 37 C.F.R. § 1.17(p). Check No. \_\_\_\_\_ in the amount of \$180.00 is enclosed.
6. \_\_\_\_\_ Pursuant to 37 C.F.R. § 1.97(d), this Information Disclosure Statement is being filed after the mailing date of either a final action under 37 C.F.R. § 1.113, a Notice of Allowance under 37 C.F.R. § 1.311, or an action that otherwise closes prosecution, but before or simultaneous with payment of the issue fee. The Information Disclosure Statement is accompanied by a certification statement as specified in 37 C.F.R. § 1.97(e) and the submission fee set forth in 37 C.F.R. § 1.17(p). Check No. \_\_\_\_\_ in the amount of \$180.00 is enclosed.
7.   x   The Commissioner is hereby authorized to charge any fees under 37 C.F.R. §§ 1.16, 1.17 and 1.18 which may be required during the entire pendency of the application, or credit any overpayment, to Deposit Account No. 03-1740. This authorization also hereby includes a request for any extensions of time of the appropriate length required upon the filing of any reply during the entire prosecution of this application. A copy of this document is enclosed.

Respectfully submitted,

CHRISTENSEN O'CONNOR  
JOHNSON KINDNESS<sup>PLLC</sup>

*Barbara M. Level*

Barbara M. Level  
Registration No. 45,483  
Direct Dial No. 206.695.1776

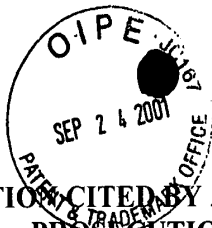
I hereby certify that this correspondence is being deposited with the U.S. Postal Service in a sealed envelope as first class mail with postage thereon fully prepaid and addressed to the Commissioner for Patents, Washington, D.C. 20231, on the below date.

Date: September 20, 2001

BML/ws

*Wanda*

LAW OFFICES OF  
CHRISTENSEN O'CONNOR JOHNSON KINDNESS<sup>PLLC</sup>  
1420 Fifth Avenue  
Suite 2800  
Seattle, Washington 98101  
206.682.8100



INFORMATION CITED BY APPLICANTS THAT MAY BE MATERIAL TO THE  
PROSECUTION OF THE SUBJECT APPLICATION

Applicant: Travis J. Muhlestein et al. Attorney Docket No. MSFT116344  
Application No: 09/899,959 Group Art Unit: 2152  
Filed: July 6, 2001 Examiner:  
Title: METHOD AND APPARATUS FOR PROVIDING INSTRUMENTATION  
DATA TO AN INSTRUMENTATION DATA SOURCE FROM WITHIN A  
MANAGED CODE ENVIRONMENT

RECEIVED  
SEP 26 2001  
Technology Center 2100

U.S. PATENT DOCUMENTS

*Examiner Initial	ID	Document No.	Date	Name
_____	U1	none cited		
_____	U2			
_____	U3			
_____	U4			

FOREIGN PATENT DOCUMENTS

*Examiner Initial	ID	Document No.	Date	Country	Translation Provided	
					Yes	No
_____	F1	none cited				
_____	F2					
_____	F3					
_____	F4					

LAW OFFICES OF  
CHRISTENSEN O'CONNOR JOHNSON KINDNESS<sup>PLLC</sup>  
1420 Fifth Avenue  
Suite 2800  
Seattle, Washington 98101  
206.682.8100



# OTHER INFORMATION

(Including Author, Title, Date, Pertinent Pages, Etc.)

RECEIVED  
SEP 26 2001  
Technology Center 2100

\*Examiner  
Initial

ID

- |       |    |  |
|-------|----|--|
| _____ | O1 | Festor, O., et al., "Integration of WBEM-Based Management Agents in the OSI Framework," <i>Integrated Network Management VI, Distributed Management for the Networked Millennium, Proceedings of the Sixth IFIP/IEEE International Symposium on Integrated Network Management</i> , 1999, pp. 49 - 64. |
| _____ | O2 | Hariri, S., et al., "Design and Analysis of a Proactive Application Management System (PAMS)," <i>Proceedings of Network Operations and Management Symposium 'The Networked Planet: Management Beyond 2000'</i> , 2000, pp. 89 - 101.  |
| _____ | O3 | John, A., et al., "XNAMI - An eXtensible XML-Based Paradigm for Network and Application Management Instrumentation," <i>IEEE International Conference on Networks, ICON '99 Proceedings</i> , 1999, pp. 115 - 124.   |
| _____ | O4 | Johnson, L.J., "Manage Resources With WMI: Learn how to Manage Computer Resources on all Windows Platforms with WMI.," <i>Visual Basic Programmers' Journal</i> , Vol. 10, No. 8, July 2000, pp. 44 - 53.  |
| _____ | O5 | Kar, G., et al., "Managing Application Services over Service Provider Networks: Architecture and Dependency Analysis," <i>Proceedings of Network Operations and Management Symposium 'The Networked Planet: Management Beyond 2000'</i> , 2000, pp. 61 - 74.   |
| _____ | O6 | Katchabaw, M.J., et al., "Making Distributed Applications Manageable Through Instrumentation," <i>The Journal of Systems and Software</i> , Vol. 45, No. 2, 1 March 1999, pp. 81 - 97.   |
| _____ | O7 | Kawamura, R., et al., "A Middleware Architecture for Active Distributed Management of IP Networks," <i>Proceedings of Network Operations and Management Symposium 'The Networked Planet: Management Beyond 2000'</i> , 2000, pp. 291 - 304.  |
| _____ | O8 | McConnell, J., "DMTF: A Foundation for Systems Management?," <i>ConneXions</i> , Vol. 8, No. 9, September 1994, pp. 22 - 27.   |
| _____ | O9 | Ohara, Y., et al., "Management and Communication Protocol Specifications," <i>NTT Research and Development Journal</i> , Vol. 44, No. 11, 1995, pp. 1089 - 1098.   |

LAW OFFICES OF  
CHRISTENSEN O'CONNOR JOHNSON KINDNESS<sup>PLLC</sup>  
1420 Fifth Avenue  
Suite 2800  
Seattle, Washington 98101  
206.682.8100

\*Examiner

Initial ID

- 
- |       |     |   |
|-------|-----|---|
| _____ | O10 | Thompson, J.P., "Web-Based Enterprise Management Architecture," <i>IEEE Communications Magazine</i> , Vol. 36, No. 3, March 1998, pp. 80 - 86.  |
| _____ | O11 | Vidal, M.E., et al., "A Meta-Wrapper for Scaling up to Multiple Autonomous Distributed Information Sources," <i>Proceedings, Third IFCIS International Conference on Cooperative Information Systems</i> , 1998, pp. 148 - 157. |
| _____ | O12 | Yamagishi, K., et al., "An Implementation of a TMN-Based SDH Management System in Japan," <i>IEEE Communications Magazine</i> , Vol. 33, No. 3, March 1995, pp. 80 - 85.  |
| _____ | O13 |   |
| _____ | O14 |   |
| _____ | O15 |   |

Examiner

Date Considered

---

\*Examiner: Initial if reference considered, whether or not citation is in conformance with M.P.E.P. § 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

BML/ws

LAW OFFICES OF  
CHRISTENSEN O'CONNOR JOHNSON KINDNESS<sup>PLLC</sup>  
1420 Fifth Avenue  
Suite 2800  
Seattle, Washington 98101  
206.682.8100